

**Instructions for Preparing and Submitting the Fiscal Year (FY) 2016  
National Training and Technical Assistance Cooperative Agreements (NCA)  
Non-Competing Continuation (NCC) Progress Report  
for NCAs originally funded under HRSA-14-031**

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**Purpose**

This National Training and Technical Assistance Cooperative Agreements (NCA) Non-Competing Continuation (NCC) Progress Report (hereafter referred to as the progress report) will provide funding for the fiscal year (FY) 2016 budget period (July 1, 2016 through June 30, 2017). Continued funding is based on program compliance, organizational capacity to accomplish the project's goals, Congressional appropriation, and a determination that continued funding would be in the best interest of the federal government.

**Note:** These instructions are specific to the progress reports to be submitted by the 16 NCAs originally funded under HRSA-14-031 with a July 1, 2014 project period start date. Progress report instructions for the three NCAs funded under HRSA-15-140 with a September 1, 2015 project period start date will be made available separately.

**Submission and Award Information**

Submissions are due in the HRSA Electronic Handbooks (EHB) by 5:00 PM ET on March 4, 2016. Awards will be made by July 1, 2016. The progress report budget request must not exceed the recommended level of support found on line 13 of the most recent Notice of Award (NoA).

## Technical Assistance

ASSISTANCE NEEDED	PLEASE CONTACT
General NCA technical assistance (e.g., copies of forms, FAQs)	<b>NCA Technical Assistance Website</b> <a href="http://bphc.hrsa.gov/programopportunities/fundingopportunities/NCA/index.html">http://bphc.hrsa.gov/programopportunities/fundingopportunities/NCA/index.html</a>
NCA budget or other fiscal questions	<b>Brian Feldman</b> Office of Federal Assistance Management Division of Grants Management Operations <a href="mailto:bfeldman@hrsa.gov">bfeldman@hrsa.gov</a> or 301-443-3190
NCA progress report questions	<b>NCA Response Team</b> Bureau of Primary Health Care Office of Policy and Program Development <a href="mailto:bphcnca@hrsa.gov">bphcnca@hrsa.gov</a> or 301-594-4300
EHB submission issues (e.g., questions on completing forms in EHB)	Submit a Web Request at: <a href="http://www.hrsa.gov/about/contact/bphc.aspx">http://www.hrsa.gov/about/contact/bphc.aspx</a> or 1-877-974-BPHC (2742)

## Reporting

NCAs must comply with the following reporting requirements.

- **Audit Requirements**

Effective December 26, 2014, all administrative and audit requirements, and the cost principles that govern federal monies associated with this award, will be subject to the Uniform Guidance [2 CFR 200](#) as codified by the Department of Health and Human Services (HHS) at [45 CFR 75](#), which supersede the previous audit requirements.

- **Payment Management Requirements**

Submit a quarterly electronic Federal Financial Report (FFR) Cash Transaction Report via the Payment Management System (PMS). The report identifies cash expenditures against the authorized cooperative agreement funds. Failure to submit the report may result in the inability to access cooperative agreement funds.

- **Status Reports**

Submit a Federal Financial Report (SF-425) in EHB at the end of each budget period to account for expenditures under the project for the budget period. You will be permitted 90 days to liquidate obligations following the end of the budget period. The report will be due October 30, 2016 (the first quarterly reporting date after the 90-day liquidation period).

- **Transparency Act Reporting Requirements**

Awards issued are subject to the reporting requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, and implemented by 2 CFR Part 170. Grant recipients must report information for each first-tier subaward of \$25,000 or more in Federal funds and executive total compensation for the recipient's and subrecipient's

five most highly compensated executives as outlined in Appendix A to 2 CFR Part 170 (FFATA details are available at <http://www.hrsa.gov/grants/ffata.html>).

### General Instructions

The progress report must not exceed **40 pages** when printed by HRSA (approximately 5 MB). Submit single-spaced narrative documents with 12 point, easily readable font (e.g., Times New Roman, Arial, Calibri) and one-inch margins. Smaller font (no less than 10 point) may be used for tables, charts, and footnotes.

Progress reports lacking all required information will be considered incomplete or non-responsive and will be returned via a “request change” notification in EHB for the provision of missing information. If HRSA does not receive a progress report by the established deadline or receives an incomplete or non-responsive progress report, a delay in NoA issuance or a lapse in funding could occur.

The progress report must consist of the forms and documents identified in [Table 1](#). In the Form Type column of Table 1, “Forms” are completed online directly in EHB. “Attachments” are materials that must be uploaded into EHB.

**Table 1: Forms and Attachments**

Progress Report Section	Form Type	Instructions	Counted in Page Limit?
SF-PPR	Form	Instructions are included in the NCA User Guide available in EHB and at the <a href="#">NCA technical assistance website</a> .	No
SF-PPR-2	Form	Instructions are included in the NCA User Guide available in EHB and at the <a href="#">NCA technical assistance website</a> .	No
Budget Information: Budget Details Form	Form	Refer to <a href="#">Section A. Budget Details Form</a> for detailed instructions.	No
Budget Narrative	Attachment	Upload the Budget Narrative. Refer to <a href="#">Section B. Budget Narrative</a> for detailed instructions.	Yes
FY 2015 Project Work Plan Progress Report	Form	Refer to <a href="#">Appendix A</a> for detailed instructions.	No
FY 2016 Project Work Plan	Form	Refer to <a href="#">Appendix A</a> for detailed instructions.	No

Progress Report Section	Form Type	Instructions	Counted in Page Limit?
Attachments 1 - 6	Attachments	Refer to <a href="#">Attachment Instructions</a> for detailed instructions.	Yes

## Attachment Instructions

### Attachment 1: Program Narrative Update (*Required*)

Provide a brief narrative highlighting **broad issues, significant progress, and challenges** that have impacted the target audience and the NCA organization since submission of the FY 2015 NCC progress report. This section should expand on the updates provided in the FY 2015 Project Work Plan Progress Report completed in EHB. The Program Narrative Update should include a discussion of the following elements (1 through 5).

1. **Any significant progress, challenges, and changes to the approved NCA Training and Technical Assistance (T/TA) activities** beyond those included in the FY 2015 Project Work Plan Progress Report and the FY 2016 Project Work Plan. Include a description of:
  - Specific challenges encountered and the strategies used to overcome them.
  - Significant strategy changes needed to address the unique T/TA needs of health centers receiving or seeking special populations funding<sup>1</sup> and newly funded health centers (e.g., new starts). Describe what determined the need for those changes.
  - Needs assessments conducted in FY 2015 budget period and/or scheduled for the FY 2016 budget period (July 1, 2016 through June 30, 2017).

**REMINDER:** Any T/TA activity for which NCAs use HRSA funds must be made available to all existing or potential health centers (i.e., Health Center Program award recipients and look-alikes) nationwide, regardless of NCA membership. It will be a violation of the cooperative agreement if NCAs refuse to work with an existing or potential health center. NCAs should provide equal access to T/TA services without regard to NCA membership.

2. **Any significant changes to collaborations, partnerships, and coordinated activities.** Describe significant changes since submission of the FY 2015 NCC progress report to planned or current collaborations or activities coordinated with HRSA-supported TA providers (e.g., other NCAs, Primary Care Associations, Primary Care Offices, Health Center Controlled Networks) and other relevant target audience stakeholders. Address how these changes will impact achievement of the goals outlined in the work plan.

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<sup>1</sup> Section 330(g): Migratory and Seasonal Agricultural Workers, Section 330(h): Individuals and Families Experiencing Homelessness, and Section 330(i): Individuals Living in Public Housing.

**3. Any significant changes to plans for evaluation and dissemination of lessons learned.**

Describe significant changes since submission of the FY 2015 NCC progress report to the dissemination and/or evaluation strategies related to data collection and analysis, needs assessments, and lessons learned to date.

**4. Any significant changes to project staffing.** Describe updates to the project's staffing plan since submission of the FY 2015 NCC progress report and address any significant challenges encountered in recruiting and retaining key management/project staff to accomplish the objectives of the work plan. Refer to Attachments 2 and 5 as appropriate.

**5. Any additional progress not captured on the FY 2015 Project Work Plan Progress Report.**

Provide an overview of any progress since submission of the FY 2015 NCC progress report not captured through the preceding narrative questions or the FY 2015 Project Work Plan Progress Report (e.g., outreach and enrollment activities).

**Attachment 2: Staffing Plan (As Applicable)**

If the staffing plan has changed since submission of the FY 2015 NCC progress report (e.g., new staff hired), provide a revised staffing plan that includes staff education, experience, qualifications, and the rationale for the changes. See the [NCA technical assistance website](#) for a sample that provides details on the information required for inclusion.

**Attachment 3: Position Descriptions for Key Personnel (As Applicable)**

If position descriptions for key staff (e.g., Chief Executive Officer, Chief Financial Officer, Project Director) including vacant positions, have changed since the FY 2015 NCC progress report submission, upload new job descriptions. Position descriptions must be limited to one page and include at a minimum the roles, responsibilities, and qualifications for each position. Distinguish between job descriptions if key positions are combined and/or part time (e.g., CEO and CFO roles are shared).

**Attachment 4: Biographical Sketches for Key Personnel (As Applicable)**

If there have been any new key staff hired since submission of the FY 2015 NCC progress report, provide biographical sketches for the individuals, if not previously submitted to your Project Officer. Each biographical sketch must be limited to one page. At a minimum, biographical sketches should include training, language fluency, and experience working with the cultural and linguistically diverse populations that are served by the program.

**Attachment 5: Summary of Contracts and Agreements (As Applicable)**

Provide a summary describing any new or revised T/TA contracts and/or agreements established since the submission of FY 2015 NCC progress report. The summary must address the following items for each contract and agreement:

- Name and contact information for each affiliated agency;
- Type of contract or agreement (e.g., contract, memorandum of understanding);
- Brief description of the purpose and scope of the contract or agreement (i.e., type of services provided through the agreement, how and where services are provided);

- Brief description of contract deliverables; and
- Timeframe for the contract or agreement.

#### **Attachment 6: Other Relevant Documents (As Applicable)**

Provide other documents to support the progress report (publications, survey instruments, data summary charts, organizational chart), as desired. If your organization claims indirect costs in your budget, you must upload a copy of your most recent indirect cost rate agreement. Merge all additional items into a single document before uploading. Please note that these documents will count against the page limit.

#### **Budget Forms Instructions**

A complete budget presentation includes the Budget Information: Budget Details form, to be completed electronically in EHB for the FY 2016 budget period (July 1, 2016 through June 30, 2017), and the budget narrative attachment. HRSA recommends the following resources to facilitate development of an appropriate budget:

- The *HHS Grants Policy Statement*: <http://www.hrsa.gov/grants/hhsgrantspolicy.pdf>.
- The *HHS Policy on Promoting Efficient Spending*: <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/index.html>.
- The *BPHC Primary Care Association Guide 2012-2013*: <http://bphc.hrsa.gov/programopportunities/fundingopportunities/pca/pcaguide2012-2013.pdf>.

Funds under this announcement may not be used for the following purposes:

- Construction/renovation of facilities.
- Activities not approved under the cooperative agreement.
- Reserve requirements for state insurance licensure.
- Support for lobbying/advocacy efforts.
- Conference sponsorship (content development of individual program sessions related to the NCA Project Work Plan is allowable; refer to the [HHS Policy on Promoting Efficient Spending](#) and the [Primary Care Association Guide 2012-2013](#) listed above).

#### **1. Budget Information: Budget Details Form (Required)**

The budget request should only include federal funds for the proposed NCA activities. Do not provide other sources of funding.

In Section A: Budget Summary, the NCA request in the federal column is pre-populated and cannot be edited. The federal funding requested equals the Recommended Federal Budget figure that appears at the top of the Budget Information: Budget Details form. This figure corresponds with the Recommended Future Support figure from line 13 of the most recent NoA.

In Section B: Budget Categories, provide a breakdown of the requested funds by object class category (e.g., Personnel, Fringe Benefits). You may want to use the Budget Information: Budget Details form included with the FY 2015 NCC progress report as a reference point, noting that the total value for each object class category may differ year to year based on programmatic changes. The total in Section B should match the federal request in Section A.

The amounts in the Total Direct Charges row and the Total column will be calculated automatically. Indirect costs may only be claimed with an approved indirect cost rate (see details in the [Budget Narrative](#) section below).

In Section C: Non-Federal Resources, do not provide other sources of funding.

## **2. Budget Narrative (Required)**

Include a line-item budget narrative explaining the amounts requested for each row in Section B: Budget Categories of the Budget Information: Budget Details form (see the sample on the [NCA technical assistance website](#)). The budget narrative is for **one year, based on the FY 2016 budget period (July 1, 2016 through June 30, 2017)**. Upload the budget narrative in the Budget Narrative Form section in EHB. The budget narrative must contain detailed calculations explaining how each line-item expense is derived. Include the following in the Budget Narrative:

**Personnel Costs:** List each staff member to be supported by federal cooperative agreement funds, and include the name (if possible), position title, percent full time equivalency (FTE), and annual salary. **Reminder:** Federal funds may not be used to pay the salary of an individual at a rate in excess of Federal Executive Level II of the Federal Executive Pay scale (currently \$183,300). An individual's base salary, per se, is not constrained by the legislative provision; the rate limitation restricts the amount of the salary that may be charged to the NCA cooperative agreement. Provide all base salaries at the full amount, even if they exceed the salary limit.

[Table 2](#) provides the information that must be included for each staff position supported in whole or in part with NCA cooperative agreement funds.<sup>2</sup>

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<sup>2</sup> If a full-time staff member is paid from several HRSA funding sources, the total federal contribution to that staff person's salary cannot exceed \$183,300.

**Table 2: Budget Sample for Salary Limitation**

Name	Position Title	% of FTE	Base Salary	Adjusted Annual Salary	Federal Amount Requested
J. Smith	Chief Executive Officer	50	\$225,000	\$183,300	\$91,650
R. Doe	Chief Financial Officer	100	\$75,950	no adjustment needed	\$75,950
B. Nelson	Data/IT Specialist	25	\$65,000	no adjustment needed	\$16,250

**Fringe Benefits:** List the components that comprise the fringe benefit rate (e.g., health insurance, taxes, unemployment insurance, life insurance, retirement plan, tuition reimbursement). The fringe benefits must be directly proportional to the allocated personnel costs.

**Travel:** List travel costs categorized by local and long distance travel. For local travel, the mileage rate, number of miles, reason for travel, and staff/board members completing the travel must be outlined. For long distance travel, include the reason for travel (e.g., name of conference and location), staff traveling, as well as itemized costs associated with airfare, ground transportation, per diem, hotel, conference/meeting registration fees, etc. The budget must also reflect travel expenses associated with participating in proposed meetings, trainings, or workshops.

**Equipment:** Identify the cost per item and justify the need for each piece of equipment to carry out the project. Equipment includes moveable items that are non-expendable, tangible personal property having a useful life of more than one year and an acquisition cost that equals or exceeds \$5,000.

**Supplies:** List the items necessary for project implementation, separating items into two categories: office supplies (e.g., paper, pens) and educational supplies (e.g., brochures).

**Contracts:** Provide a clear explanation as to the purpose of each contract, how the costs were estimated, and the specific contract deliverables. Each recipient is responsible for ensuring that it has in place an established and adequate procurement system with fully developed written procedures for awarding and monitoring contracts consistent with the federal procurement standards set forth in [45 CFR Part 74](#): Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Nonprofit Organizations, and Commercial Organizations or [45 CFR Part 92](#): Uniform Administrative Requirements for Grants And Cooperative Agreements to State, Local, and Tribal Governments, as appropriate.

**Other:** Include all costs that do not fit into any other category and provide an explanation of each cost (e.g., audit, legal counsel). In some cases, rent and utilities fall under this category if they are not included in an approved indirect cost rate.



**Indirect Costs:** Indirect costs include costs incurred for common or joint objectives that cannot be readily identified but are necessary to organizational operation (e.g., facility operation and maintenance, depreciation, administrative salaries). Visit <https://rates.psc.gov/> to learn more about indirect cost rate agreements, including the process for applying for an agreement.

**Note:** If your organization claims indirect costs in your budget, you must upload a copy of your most recent indirect cost rate agreement in [Attachment 6](#).

## Appendix A: Project Work Plan Instructions

### Overview

EHB will pre-populate two Project Work Plan forms with information from the FY 2015 NCC progress report to facilitate reporting progress and updating activities for the FY 2016 budget period (July 1, 2016 through June 30, 2017). Refer to the sample Project Work Plans and the User Guide available on the [NCA technical assistance website](#) when completing the Project Work Plan forms. If needed, incorporate any information that exceeds the Project Work Plans' character limits into the Program Narrative Update in [Attachment 1](#). Note that the Project Work Plans should only address activities supported under the NCA cooperative agreement.

### 1. Completing the FY 2015 Project Work Plan Progress Report Form

The FY 2015 Project Work Plan Progress Report form will be pre-populated with information submitted last year. Update the following editable fields to report progress on planned activities since submission of the FY 2015 NCC progress report: Progress, Current Value, Narrative Progress Towards Goal, and Expected Impact Progress Narrative (as shown in Table 3 below). All other fields in this form (not shown in Table 3) are locked and may not be edited.

**Table 3: FY 2015 Project Work Plan Progress Report Fields**

Field	About this Field
Progress (limit 2,500 characters)	<p>Describe progress toward performing each activity.</p> <p>If an activity will not be continued in the FY 2016 Project Work Plan, provide an explanation in this section (e.g., an activity is being discontinued due to shifting resources to support other activities).</p> <p><b>This is a required field.</b></p>
Current Value	<p>Provide cumulative data from July 1, 2014 based on all T/TA completed to date to show progress toward each Evaluative Measure Goal.</p> <p><b>This is a required field that will accept numeric data for the following:</b></p> <ul style="list-style-type: none"><li>• number of formal T/TA sessions</li><li>• number of health center representatives trained</li><li>• number between 1.00 and 4.00 representing how well trainings met the stated objectives</li><li>• number between 1.00 and 4.00 representing how likely trainees are to apply new information</li></ul>

Field	About this Field
Narrative Progress Towards Goal (limit 2,500 characters)	Provide narrative details of progress toward the end of Project Period goal and describe the trend between the Last Reported Value and the Current Value.  <b>This is a required field.</b>
Expected Impact Progress Narrative (limit 2,500 characters)	Describe progress to date toward the identified Expected Impact under each Focus Area.  <b>This is a required field.</b>

## 2. Completing the FY 2016 Project Work Plan Form

The FY 2016 Project Work Plan form will be pre-populated with information submitted last year. Revise the pre-populated Project Work Plan as needed to outline activities planned for the FY 2016 budget period (July 1, 2016 through June 30, 2017).

**Table 4: FY 2016 Project Work Plan Fields**

Field	About this Field
Focus Areas (limit 500 characters)	<p>This field contains the selected focus areas. For details on the minimum number of focus areas required by target audience, refer to <a href="#">Table 5</a> below.</p> <ul style="list-style-type: none"> <li>For NCAs targeting Health Centers Serving Special Populations and Health Centers Serving Underserved Communities/Populations, all pre-defined focus areas are required and cannot be deleted.</li> <li>For NCAs targeting Health Centers Serving Vulnerable Populations and Health Centers Seeking Capital Financing, pre-defined focus areas can be deleted or added as long as the target audience minimum requirements are met.</li> <li>For all NCAs, any additional (other) focus areas previously proposed may be deleted. New additional (other) focus areas, up to 3 under each core function, may be added as desired. Additional (other) focus areas cannot substitute for the required focus areas in each section.</li> </ul>

Field	About this Field
Key Factors (limit 500 characters)	<p>If necessary, update the key factors predicted to contribute to and restrict progress toward reaching each goal. A minimum of 2 key factors must be included for each goal. At least 1 restricting key factor and 1 contributing key factor must be identified.</p> <p><b>Key Factors that do not need to be updated require no action.</b></p>
Activity (limit 500 characters)	<p>Review and update activities to reflect those planned for the upcoming budget period.</p> <p>At least 2 activities must be listed for each focus area; additional activities can be added for each focus area, up to a maximum of 8 per focus area.</p>
Person/Area Responsible (limit 500 characters)	Update/identify at least 1 person/position that will be responsible and accountable for carrying out each Activity (maximum of 5).
Time Frame (limit 500 characters)	Update/identify at least 1 expected Time Frame for carrying out each activity (maximum of 5).
Expected Outcome (limit 1,500 characters)	Update/identify anticipated results and accomplishments for each proposed activity (i.e., quantitative and qualitative results). Identify at least 1 outcome for each activity (maximum of 5).
Comments (limit 1,500 characters)	<p>Update/provide supplementary information, as desired.</p> <p><b>This field can be left blank.</b></p>

Field	About this Field
Evaluative Measures	<p>Evaluative measures will appear for each focus area, as follows:</p> <ul style="list-style-type: none"> <li>• Evaluative Measure 1: How many formal T/TA sessions are planned?</li> <li>• Evaluative Measure 2: How many health center representatives will be trained?</li> <li>• Evaluative Measure 3: Based on surveys administered to health center representatives at trainings, how well will health center representative report that the T/TA met the stated objectives?</li> <li>• Evaluative Measure 4: Based on surveys administered to health center representatives at trainings, how likely will health center representatives be to apply information from the T/TA in their Health Center Programs/organizations?</li> </ul> <p><b>This field will be pre-populated and locked.</b></p>
Goal	<p>The end of three-year project period goals will be pre-populated and locked for each Evaluative Measure previously selected. If focus areas are added, new Evaluative Measure goals for the end of the project period (June 30, 2017) must be established.</p>
Expected Impact (limit 1,500 characters)	<p>The ultimate outcome (expected impact by the end of the three-year project period) of all activities under each focus area will be pre-populated. Update as needed. If focus areas are added, new Expected Impact descriptions for the end of the project period (June 30, 2017) must be provided.</p>

The table below summarizes the minimum number of pre-defined focus areas required in the Project Work Plan for each NCA target audience.

**Table 5: Pre-Defined Focus Area Minimum Requirements by Target Audience**

	<b>Health Centers Serving Underserved Communities/ Populations</b>	<b>Health Centers Serving Special Populations</b>	<b>Health Centers Serving Vulnerable Populations</b>	<b>Health Centers Seeking Capital Financing</b>
<b>Section A:</b> Training and Assistance in Fiscal and Program Management (Program Requirements)	All 5 focus areas required	All 5 focus areas required	Minimum of 2 focus areas required	Minimum of 2 focus areas required
<b>Section B:</b> Operational and Administrative Support (Performance Improvement)	All 3 focus areas required	All 3 focus areas required	Minimum of 1 focus area required	Minimum of 1 focus area required
<b>Section C:</b> Program Development/ Analysis	All 5 focus areas required	All 5 focus areas required	All focus areas required except Newly Funded Health Centers	All focus areas required except Newly Funded Health Centers